



# **ADVANCING LANDSCAPES IN THE ANDEAN AMAZON (ASLAA)**

## **Work Plan FY 2013 - QR4**

### **1 PROJECT COVER SHEET**

#### **1.1 NAME OF THE PROJECT:**

ADVANCING LANDSCAPES IN THE ANDEAN AMAZON (ASLAA)

#### **1.2. DATES (START/FINISH):**

AGREEMENT/ CONTRACT

Fri, 30/09/2011 - 00:00 to Tue, 29/09/2015 - 00:00

REPORT PERIOD

Tue, 01/01/2013 - 00:00 to Tue, 30/09/2014 - 00:00

#### **1.3. PRIME PARTNER:**

RAINFOREST ALLIANCE

#### **1.4. NAME OF PROGRAM MANAGER:**

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#### **1.5. NAME OF AGREEMENT OFFICE REPRESENTATIVE OR CONTRACT OFFICE REPRESENTATIVE:**

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#### **1.6. NAME OF ALTERNATE AOR OR COR:**

MONICA ROMO

## **1.7. MECHANISM NUMBER:**

AID-OAA-A-11-00055

## **1.8. OVERALL PROGRAM DESCRIPTION:**

Rainforest Alliance and its partners, Asociación para la Investigación y el Desarrollo Integral (AIDER) in Peru, and ECOLEX in Ecuador, have designed the Advancing Sustainable Landscapes in the Andean Amazon (SL) project with the goal of conserving biodiversity in two landscapes, Sucumbíos/Napo, Ecuador and Cusco/Madre de Dios, Peru. In the Sucumbíos/Napo landscape we are working in the Cuyabeno Wildlife Reserve (CWR), the Limoncocha Biological Reserve (LBR) and the buffer zone of Sumaco – Napo Galeras National Park. Within Sucumbíos, we are working in the Putumayo, Cuyabeno, and Shushufindi cantons, from the bridge over the Cuyabeno River east to the Siona communities of Tarabeia, San Victoriano, and Puerto Bolívar, for a total of 128,000 ha. The LBR is located in the Shushufindi canton close to Yasuní National Park. In the buffer zone of Sumaco-Napo Galeras National Park we will work in the Hatun Sumaco parish that includes seven indigenous communities, including Hatun Sumaku, Wawa Sumaku, Wuamaní, Patco Sumaku, Pucuno Chico, Volcán Sumaku and Challuayacu. In Madre de Dios, we are working in the province and district of Tambopata with the follow indigenous communities from the Ese Ejas, Shipibos, Yine, Amahuaca, Kicharunas ethnicities representing approximately 75,000 ha: Tres Islas, Palma Real, Infierno, Sonene, Puerto Arturo, and San Jacinto. In the upper and middle Tambopata, we are working in the Filadelfia area and with various tourism operations, representing approximately 3,000 ha. In the Cusco section of the landscape, we are working in the La Convencion and Calca Provinces, and Quellouno and Echarate and Yanatile Districts, found within the Ivohote and Llaco Yavero watershed and covering 13,500 ha (Cooperatives: Bioazul, Jose Olaya, Chaco Huayanay, Paquibo, Alto Urubamba, and Mateo Pumacahua and Asociacion Agricultura Ecologica). Our overall strategy is premised on addressing the principal threats to biodiversity and their drivers identified in the two landscapes that have the most significant impact and can be countered directly given the experience and expertise of RA and its partners in order to optimize impacts locally. The principal threats include habitat degradation and habitat loss due to wholesale deforestation or land-use conversion, while the drivers of these threats can be grouped into three areas: a) limited institutional capacity by local governments and communities for natural resource management; b) limited participation in and access to programs by local groups for resource management and sustainable production chains; and c) weak organizational capacity and market linkages of local producers and operators to grow local economic opportunities.

## **2. STRATEGY OVERVIEW**

### **2.1. INTERMEDIATE RESULTS**

#### **2.1.1 IR1 - Selected Landscapes Managed Sustainably:**

The SL is designed in accordance with USAID's IR1, and includes indigenous territories, protected areas, and private lands. The conservation of biodiversity in the two landscapes is the goal of the project, and will be accomplished by addressing the principal threats to biodiversity and their drivers identified in the two landscapes that have the most significant impact and can be countered directly given the experience and expertise of RA and its partners in order to optimize impacts locally given the scope and level of project investments. The SL is designed to protect and ensure the integrity of protected areas and the vulnerable buffer zones found in the two landscapes in order to contribute to protecting remaining, largely intact areas in the Andean Amazon. The strategy for the project is designed to meet USAID's three Activity Results for Area-Based Programs and builds on the assumption that local groups will protect their environment if more enabling conditions are created through building the capacity for local land-use and resource planning, strengthening local governance to carry out those plans, and growing economic opportunities that contribute to local livelihoods and biodiversity conservation. The proposed activities thus aim to create, cement, and catalyze change at structural level by making tools available to communities and local governments that can be adapted to best suit the specific geographic, economic and cultural needs found in each landscape and community or group. The project will follow a multifaceted strategy addressing the need for

improvements and changes at two levels: a) economic level- for example, a cluster of farms or community-based production forests and plantations in buffer zones or eco-tourism operations and the natural areas they are based on; b) structural level to address local governance, institutional capacities, small enterprise development, markets, and higher-level policy issues. Integrating sustainable forestry, agriculture and tourism activities across a high-biodiversity landscape reduces land-use pressures and maintains and improves habitat corridors for local wildlife. Such sustainable management minimizes GHG emissions while reducing deforestation threats. Incremental, long-term shifts in seasonal weather patterns (droughts, increased temperatures, changes in precipitation) alter the habitat that a species evolved in, sometimes to the point at which a previously optimal habitat becomes uninhabitable. Biodiversity is important to ecosystem resiliency and vice versa, and both are essential to maintaining forest carbon stocks. The projects support of improved agriculture or forest management will also build resiliency in managed ecosystems, and result in better resilience of the landscape, enabling adaptation. Some of the anticipated challenges in implementing this work plan include security issues in Sucumbíos and Quellouno, Cusco, complex social and economic dynamics, and delicate US government to Ecuadorian government relationships. For the former, apart from taking precautionary measures such as holding meetings outside of conflict areas or avoiding those areas completely when conflicts arise to ensure the safety of our teams, where possible we will try to shift our focus to safer areas in the case of Cusco, and include Napo province as an alternative geographic area of intervention Sucumbíos. In regard to complex dynamics inherent to working in areas such as Sucumbíos and Madre de Dios where extractive industries such as petroleum and gold are prevalent and limited social governance and collective natural resource use structures exist, we will need to maintain a long term perspective with the understanding that it will take time to build the capacity of project stakeholders to collectively manage their natural resources and to build their confidence in utilizing more sustainable resource options to fulfill their livelihood needs. For the latter, there is little we can do apart from being prepared to propose an alternative plan for shifting the resources to support our work in other ICAA countries.

## **2.1.2 IR2 - Key Elements of Natural Resources Governance Functioning in Critical Landscapes:**

The SL will directly contribute to the ICAA strategic framework by supporting activities that will work toward achieving the IR2 goal of improving key elements of natural resource governance in critical landscapes. Considering that all societies elaborate governance models and processes, systems for decision making and conflict resolution, institutions and rules, and that these processes are collective and involve diverse governance actors are diverse (state, private sector, communities, and civil society), in order to try to achieve an equilibrium of efforts, SL hopes to support a participatory and transparent process with the relevant actors to achieve consensus and harmonization of interests for biodiversity conservation. To achieve this we will develop actions that contribute to environmental and natural resource management by analyzing existing political, legal and institutional frameworks, land tenure, use and access, capacities of institutional and civil society actors, and institutional arrangements and decision making processes regarding environmental management policies. This will allow us to subsequently provide technical assistance for the development of legal tools, regularizing land tenure, strengthening the capacities of target actors, and facilitating conflict resolution. The involvement of the natural resource stakeholders in these activities will allow us to work toward developing an adequate natural resource governance model.

These actions will support ICAA lines of action 1-3, 5-6:

Action 1: Improving the institutionalization and mechanisms for land regularization

Action 2: Promoting the application of mechanisms for territorial conflict management

Action 3: Develop capacities of authorities and indigenous peoples in the comprehension and management of mechanisms for land regularization, environmental rights and indigenous rights.

Action 5: Desarrollar capacidades de la sociedad civil y organizaciones indígenas para incidir en la toma de decisiones ambientales.

Action 6: Providing access and dissemination of environmental and natural resources information.

### **2.1.3 IR3 - Increased Capacity to Utilize Payment for Environmental Services (PES)-like and other Economic Incentive Programs:**

The SL will directly contribute to the ICAA strategic framework by supporting activities that will work toward achieving the IR3 goal of increasing the capacity of government and community members and leaders to plan and implement PES-like and other Economic Incentive Programs for conservation. In terms of the first line of action related to improving the generation of and access to information, we will work with the communities to provide information related to sustainable certification options and in Ecuador the national PES program, Socio Bosque, which includes a conservation program and a new pilot program that will also reward forest owners for passive and active restoration of forests. In regard to the second line of action, strengthening technical and organizational capacities of actors within SL, we will work with the communities to assist and accompany them in complying with the technical and operational obligations associated with the project supported incentive programs. In terms of the third line of action related to integrating ecosystem services in planning, we will support the integration of ecosystem services in farm level and pre-cooperative land use planning in conjunction with productive alternatives such as sustainable forest management and agriculture where possible. One of the anticipated challenges in implementing this work plan is related to the fact that there is still progress to be made in government oversight and monitoring of the forests in the Socio Bosque program. To address this challenge, together with appropriate environmental authorities and project participants, we will assess current mechanisms for the oversight, monitoring and evaluation of best management practices and identify actions that can be taken to strengthen policy and institutional capacity to improve and sustain them.

### **2.1.4 IR4 - Greater Understanding and Solutions for Key Environmental Issues:**

The SL project strategy is premised on addressing the principal threats to biodiversity and their drivers identified in the two landscapes. The principal threats include habitat degradation and habitat loss due to wholesale deforestation or land-use conversion, while the drivers or root causes of these threats are identified as limited institutional capacity by local governments and communities for natural resource management, limited participation in and access to programs by local groups for resource management and sustainable production chains and weak organizational capacity and market linkages of local producers and operators to grow local economic opportunities. The project implementation focuses on addressing drivers that have the most significant impact and can be countered directly and the strategy for IR 4 is designed to understand the impact of our work on the identified threats, which are the key environmental issues identified by SL in the selected landscapes. In particular we will show changes in livelihoods by conducting a cost-benefit analysis of a representative sample of the project beneficiaries to evaluate changes in key livelihood parameters. We will conduct a baseline and end of project survey to evaluate outcomes that relate to changes in land management practices and access to new markets as a result of the project intervention and we will do a spatial analysis related to deforestation and mapping of high conservation areas. Efforts will be made to quantify the projects contribution to biodiversity conservation in terms of reducing pressures on existing biodiversity areas, enrichment of such areas, and contribution of additional natural ecosystem areas that are safeguarded.

In regard to the research and analysis priorities proposed for the ICAA Action Plan SL will provide input directly or indirectly for:

- Sustainable use and management of biodiversity resources

- Identification of the drivers of deforestation and biodiversity loss
- Economic incentives for biodiversity conservation and protection of indigenous territories
- Opportunity cost of land uses and conservation
- Impact of technical assistance initiatives on the conservation of biodiversity

The line of action that SL will focus on is:

Line of Action 1: Fund high priority research and analysis on key biodiversity, socio-economic and infrastructure topics. Potential examples include measuring the economic impact of project agricultural production activities in Cusco, degradation study in Hatun Sumaco parish and a landscape analysis including the study of land use and land cover change, identifying important biodiversity areas and determining the opportunity cost for Napo and Cusco landscapes.

### **2.1.5 Support Unit Services:**

NA

## **2.2 CROSS-CUTTING THEMES AND USAID KEY ISSUES**

### **2.2.1 Improve Policies and Policy Implementation**

As mentioned in IR 1, the SL focuses on protected areas and their buffer zones to address selected thematic areas of the regional agenda of policies such as land tenure and land use, forest management, protected areas and climate change. Environmental regulations and agreements are important tools in the biodiverse Amazon region, to assure the conservation and sustainable use of natural resources. In the landscapes we are planning to strengthen, activities and regulations inside the protected areas like tourism activities and a risk management plan for the Cuyabeno Wildlife Reserve, support the responsible governmental institutions with the development and implementation of environmental regulations and emphasize in the buffer zone solution of land title conflicts in Madre de Dios, improve productivity activities, support the application for conservation incentives and strengthen the local government in land use management and climate change issues in Napo, Madre de Dios and Cusco. The SL work contribute mainly to the line of action 1: Develop, adopt and support the implementation of policies, laws, agreements and environmental regulations.

### **2.2.2 Increase Gender Awareness and Gender-related Program Outcomes**

The SL will assume a gender mainstreaming approach to ensure that gender and equity perspectives are central to all project activities. We will incorporate a gender focus in those activities with the greatest promise for generating positive impacts in the target groups identified in the project. The goal of the gender strategy is to achieve a balance of opportunities for both sexes principally in terms of access to information, capacity building, access to natural resources, and participation in planning activities and decision making related with the sustainable use of natural resources. The underlying principles of this approach include recognition of women as change agents, importance of full participation of women, recognition of womens multifaceted roles and hardships, and the role of men in gender issues (and their need to be engaged in the gender mainstreaming process). We are currently finalizing a gender action plan for SL that utilizes field level methodological tools as the principal implementation mechanism for achieving SL gender goal, and have trained project personnel in gender topics to ensure effective implementation of the gender strategy, and the development of gender sensitive indicators (Line of action 4). Both the baseline and gender action plan will support the ICAA gender line of action 1 and 2 by developing knowledge and information on gender and environmental management, and disseminating and exchanging information and experiences on gender in environmental management. Regarding the latter, we will disseminate information generated by ICAA and other sources, and promote the exchange of information through the ICAA Gender and Conservation Community of Practice.

### **2.2.3 Strengthening of Selected Regional Organizations and Institutions**

N/A

### **2.2.4 Improve Region-wide Capacity for Conservation Through Training**

The SL training strategy is combining the development of capacities on organizational and individual level, for private land owners, communities and governmental staff. While the governmental capacity building is focused on land use management, climate change and key elements of natural resources governance with emphasis in IR 2, the training for private land owners and communities is focusing on sustainable natural resource management, improved sustainable livelihoods and support to access economic incentives for conservation aiming to achieve a sustainable management as mentioned under IR 1.

We will use a variety of training methodologies including technical assistance, traditional training, training in the field and exchange of experiences between regions or landscapes.

The goal is to increase the knowledge and skills of key actors, exchange information between farmers and organizations and support capacity building in local organizations.

## 2.2.5 Increase Indigenous Peoples' Participation

In line with the SL IR1 strategy, the SL strategy for increasing indigenous people's participation is focused on providing support to indigenous groups to improve territorial natural resource planning and governance, and increase participation in economic incentives for sustainable natural resource use. This strategy coincides with the first line of action in ICAA's indigenous people's action plan, strengthening the capacities of organizations and authorities responsible for the indigenous people's policies through developing the capacities of indigenous leaders and organizations.

Both landscapes include activities that support participatory land use planning through zoning, development or updating of life plans (or development plans), and the monitoring of the implementation of the plans.

In the area of governance, SL will work with indigenous communities to strengthen their governance capacity through institutional capacity building in the areas of natural resource planning, management, environmental and indigenous legislation, and decision making. To improve indigenous rights and incidence, we will also work toward facilitating conflict resolution, and the participation of indigenous groups in spaces for public discussion such as forestry or REDD+ roundtables.

Recognizing that indigenous groups constitute a key group of actors within the SL landscapes, and maintain important biological areas within their territories that are subject to pressures from productive and extractive activities that influence land use, SL will promote activities that increase income derived from their natural resources such as sustainable tourism and forest management.

The same challenge of working in complex social and economic dynamics mentioned in the IR1 strategy is also relevant here, and we will address this challenge in the same fashion as mentioned previously. In implementing this Work Plan, we will work with the following indigenous groups in the Andean Amazon:

<input checked="" type="checkbox"/>	Amahuaca	<input type="checkbox"/>	Asháninka
<input type="checkbox"/>	Cashinahua	<input type="checkbox"/>	Cacataibo
<input type="checkbox"/>	Culina	<input type="checkbox"/>	Yanesha
<input type="checkbox"/>	Mastanahua	<input checked="" type="checkbox"/>	Siona
<input type="checkbox"/>	Piro	<input type="checkbox"/>	Cofán
<input type="checkbox"/>	Sharanahua	<input checked="" type="checkbox"/>	Ese' ejja
<input type="checkbox"/>	Asháninka	<input type="checkbox"/>	Amarakaeri
<input type="checkbox"/>	Yaminahua	<input type="checkbox"/>	Arazaeri
<input type="checkbox"/>	Harakmbut	<input type="checkbox"/>	Huachipaeri
<input type="checkbox"/>	Machiguenga	<input type="checkbox"/>	Sapitieri
<input checked="" type="checkbox"/>	Shipibo	<input type="checkbox"/>	Toyoeri
<input type="checkbox"/>	Isconahua	<input type="checkbox"/>	Pukirieri
<input type="checkbox"/>	Shuar	<input type="checkbox"/>	Quechua, Aymara
<input checked="" type="checkbox"/>	Kichwa		
<input type="checkbox"/>	Secoya	<input type="checkbox"/>	Shipibo
		<input checked="" type="checkbox"/>	Otros, Yine, Kicharunas

## 2.2.6 Climate Change - Adaptation

The SL will contribute to USAID adaptation objectives by emphasizing activities that reduce the vulnerability of local communities and their livelihoods, with a particular focus on agriculture and food security. We will do so by employing a strategy of recognizing and strengthening those land management practices that reduce vulnerability and enhance adaptive capacities of communities and ecosystems within our broader work to apply standards for best management practices that form the backbone of SL interventions. Many elements of these systems already include ancillary benefits for supporting adaptation and building farm resiliency, thus our focus is on proactive identification and strengthening of these to ensure their sound implementation and – where appropriate – going above and beyond to implement e.g. community adaptation plans, farm vulnerability assessments, etc. on a selected subset of farms in Cuzco that are pursuing the Sustainable Agriculture Network (SAN) Climate Module. This integrated approach is complementary to existing project interventions at low-cost, and presents the opportunity to upscale work on adaptation that could not otherwise be achieved under the project. Illustrative examples of how we will execute this strategy include: Technical assistance and training around improved farming practices to enhance productivity, which has an indirect impact on improving adaptive capacity. Pursuing opportunities to support farm income diversification to increase food security. Emphasizing reforestation, ecosystem conservation, improving soil fertility, and optimizing water use to build farmer adaptive capacity and farm resilience to climate change. Piloting the SAN Climate Module on a subset of farms in Cuzco, Peru, to serve as “learning laboratories” for how local coffee farmers can implement management systems and specific practices to build resiliency, adaptive capacity and community-level responses to extreme weather events.

## 2.2.7 Climate Change (REDD+, Sustainable Landscapes)

The SL will contribute to REDD+/Sustainable Landscape objectives by emphasizing activities that offer concrete examples of how project landscapes can transition to a low emissions/high sequestration pathway in the land-use sector and avoid/reverse emissions from deforestation. We will do so by employing a strategy of identifying and availing SL of opportunities to align planning, policy and technical assistance activities in sustainable land management with emerging government programs (e.g. SocioBosque, REDD+) designed to mitigate climate change. To that end, it is important to underscore that the SL has aligned its strategies and interventions in Madre de Dios, Peru and Napo, Ecuador with project objectives of its Net Zero Deforestation Zones project which operates in the same landscapes, and whose goal is to pilot scalable elements of REDD+ programs in those landscapes and contribute to REDD+ objectives at the national level. This alignment will enable us to leverage planning, policy and technical assistance work under SL and situate it in the context of REDD+ policy and measurement, reporting and verification (MRV) activities.

Illustrative examples of how we will execute this strategy include:

Implementation of conservation set-asides, reforestation/agroforestry activities; enhancements in soil fertility as part of technical assistance activities to farmers.

Positioning forest landowners (communities) on a pathway towards implementing sustainable forest management (SFM) as codified by the Forest Stewardship Council (FSC) standard - a key REDD+ strategy.

Designing land management and zoning plans in consideration of emerging requirements for REDD+ and existing requirements of SocioBosque.

Facilitating access to and implementation of Ecuador SocioBosque program.

We will seek to translate accomplishments into policy guidance for REDD+ programs, and/or measure benefits of implementation of these activities under MRV objectives

## 3. NETWORKING AND SYNERGY

### 3.1. ANDEAN AMAZON LEVEL

The inclusion of two landscapes in the project presents an opportunity to share knowledge, best practices and lessons learned about effective, sustainable, scalable practices from two distinct areas of the Andean Amazon in order to foment a more comprehensive understanding of the best approach to promoting the protection and conservation of protected areas and buffer zones in the chosen landscapes and in other key global biodiversity hotspots. It will not only be beneficial for the project but also broadly for organizations and governments working elsewhere in the Andean Amazon as well as other biodiversity hotspots of the world. In order to facilitate information sharing our activities within each landscape will be analyzed together with internal regional coordination, including monthly and quarterly meetings, to promote lessons learned within the project, ICAA and the greater global community.

### **3.2. NATIONAL LEVEL**

See landscape description.

### **3.3. SUB NATIONAL LEVEL**

See landscape description.

### **3.4. LANDSCAPE LEVEL**

The SL approach collaborating with ICAA participant and any other stakeholders within the landscapes and at other levels is to align our strategies and actions with the other stakeholders to ensure we take advantage of potential synergies, compliment efforts, and avoid duplication. This will increase our overall impact in conserving the Amazonian Andes in addition to the long term sustainability of our actions. To accomplish this we will share work plans with relevant stakeholders including ministries, provincial governance bodies, and municipalities, ICAA consortia and Support Unit, NGOs, projects and donors, and where possible develop joint action plans as we have done with MAE and MINTUR in Ecuador and DIRCETOUR and GOREMAD in MDD. Where similar activities with differing beneficiaries are identified we will share implementation tools and materials as well as experiences and lessons learned. To monitor progress, we will hold periodic meetings to review actions plans and agreements, and identify potential opportunities for collaboration. These collaborative activities will maximize our ability to leverage resources, expand learning, and contribute to program and/or region-wide conservation impacts.

The expected challenges of this approach are principally related to the limited time and financial resources each actor has available for identifying and implementing collaborative activities, and sharing information or tools. Without resources dedicated to specific inter-landscape or stakeholder shared objectives, indicators or targets, each stakeholder's time is consumed by working toward meeting their own objectives and targets. Additionally, without having influence over other stakeholders' actions, it will be challenging to ensure that they fulfill their agreed commitments. To work toward addressing this issue, we will rely heavily on local and national government entities and USAID to help facilitate meetings and ensure that commitments are carried out, while we also hope that the Support Unit will develop a vehicle for sharing information such as a knowledge management or communication system.

### **3.5. OTHERS**

See landscape description.

## **4. IMPACT OF LEVERAGED RESOURCES**

In general, the nature of our work catalyzing improved environmental behavior and actions and integrating various public and private stakeholders into our activities will allow for collaborative activities to leverage resources. Some of the opportunities identified include the following:

The SL will strengthen its activities in the Laco Yavero watershed in Cusco, Peru, with the significant government funds to be implemented by the Quellouno Municipality. The Municipality will work with 300 families in planting new cocoa plantations, quality control, productivity improvement,



strengthening local organizations and marketing with a focus on sustainable agricultural practices and biodiversity conservation. Also Echarate and Quellouno Municipalities will deliver funds to local community groups to implement best practices in coffee and cacao in the buffer zone Megantoni Sanctuary.

The Sustainable Development Model for Peruvian Coffee Project is executed by the Board and SCAN Peru where Rainforest Alliance is a member. This project will support the accomplishment of SL results by implementing a multi-platform for certification and agricultural productivity through organizations and agreements with coffee companies.

Through the support of the Ministry of Environment of Ecuador and local tour operators from Ecuador and Peru SL will work in the implementation of sustainable tourism principles in the destinations.

Through funding of the Ministry of Agriculture of Peru, indigenous organizations and Brazil nut associations are presenting business plans to improve the competitiveness of Brazil nut organizations with organic and fair trade certification by optimizing processing through processing plants, and improving collection capabilities and post-harvest handling.

## **5. PERFORMANCE MANAGEMENT PLAN**

The main adjustment made in the performance management plan is the adaption of the FY 13 to FY 15 targets, based on the results obtained during the first year. The targets for the indicators were reviewed and adapted to the expanded implementation area in Ecuador. The detail of the new targets is included in the table 1 in the Excel document.